

Table 3.3 Small Arms Trade Transparency Barometer 2007, covering major exporters*

| | TOTAL (25 max.) | Export report (year covered) | UN Comtrade | Timeliness (1.5 max.) | Access (2 max.) | Clarity (5 max.) | Comprehensiveness (6.5 max.) | Deliveries (4 max.) | Licences granted (4 max.) | Licences refused (2 max.) |
|----------------------|--------------------|---------------------------------|----------------|--------------------------|--------------------|---------------------|---------------------------------|------------------------|---------------------------------|---------------------------------|
| United States | 20.5 | X (05) | X | 1.5 | 2 | 4 | 5.5 | 3.5 | 4 | 0 |
| France | 18.5 | X (04) | X | 1 | 2 | 4 | 5.5 | 4 | 2 | 0 |
| Italy | 17.5 | X (04) | X | 1.5 | 1.5 | 4 | 6.5 | 3 | 1 | 0 |
| Norway | 15.5 | X (05) | X | 1.5 | 1.5 | 3.5 | 6 | 3 | 0 | 0 |
| United Kingdom | 15.5 | X (05) | X | 1 | 2 | 4 | 5.5 | 3 | 0 | 0 |
| Germany | 15.25 | X (05) | X | 1 | 1.5 | 4 | 4.75 | 2 | 2 | 0 |
| Finland | 14 | X (03) | X | 0.5 | 2 | 4 | 5.5 | 2 | 0 | 0 |
| Netherlands | 14 | X (04) | X | 1 | 2 | 2.5 | 5.5 | 3 | 0 | 0 |
| Spain ¹ | 13.75 | X (05) | X | 1.5 | 2 | 2.5 | 4.75 | 3 | 0 | 0 |
| Czech Republic | 13.5 | X (04) | X | 1 | 2 | 3 | 5.5 | 2 | 0 | 0 |
| Austria ² | 13 | X (04) | X | 0 | 1.5 | 2.5 | 5 | 2 | 2 | 0 |
| Sweden | 12.75 | X (05) | X | 1.5 | 2 | 3 | 4.25 | 2 | 0 | 0 |
| Australia | 12.5 | X (02-04) | X | 0.5 | 2 | 2.5 | 4.5 | 3 | 0 | 0 |
| Switzerland | 12.5 | X (05) | X | 1.5 | 2 | 2.5 | 4.5 | 2 | 0 | 0 |
| Bosnia-Herzegovina | 12 | X (04) | X | 1.5 | 1.5 | 2.5 | 4.5 | 2 | 0 | 0 |
| Canada ³ | 11 | - | X | 0 | 1 | 2.5 | 4.5 | 3 | 0 | 0 |
| Croatia | 11 | - | X | 0 | 1 | 2.5 | 4.5 | 3 | 0 | 0 |

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|------------------------------------|-------|--------|---|-----|-----|------|------|---|---|---|
| Iran | 10.5 | - | X | 0 | 1 | 2.5 | 4 | 3 | 0 | 0 |
| Mexico | 10.5 | - | X | 0 | 1 | 2.5 | 4 | 3 | 0 | 0 |
| Portugal | 10.25 | X (04) | X | 0.5 | 1.5 | 2.5 | 3.75 | 2 | 0 | 0 |
| Serbia and Montenegro ⁴ | 9.75 | - | X | 0 | 1 | 2.25 | 4.5 | 2 | 0 | 0 |
| Brazil | 9.5 | - | X | 0 | 1 | 2.5 | 3 | 3 | 0 | 0 |
| China | 9.5 | - | X | 0 | 1 | 2.5 | 3 | 3 | 0 | 0 |
| South Korea | 9.5 | - | X | 0 | 1 | 2.5 | 4 | 2 | 0 | 0 |
| Turkey | 9.5 | - | X | 0 | 1 | 2.5 | 4 | 2 | 0 | 0 |
| Belgium ⁵ | 9 | - | X | 0 | 1 | 2.5 | 3.5 | 2 | 0 | 0 |
| Japan | 8.5 | - | X | 0 | 1 | 2.5 | 3 | 2 | 0 | 0 |
| Pakistan | 8.5 | - | X | 0 | 1 | 2.5 | 2 | 3 | 0 | 0 |
| Singapore | 8 | - | X | 0 | 1 | 2.5 | 1.5 | 3 | 0 | 0 |
| Thailand | 8 | - | X | 0 | 1 | 2.5 | 2.5 | 2 | 0 | 0 |
| Russian Federation | 6.5 | - | X | 0 | 1 | 2 | 1.5 | 2 | 0 | 0 |
| Saudi Arabia | 6.5 | - | X | 0 | 1 | 1.5 | 2 | 2 | 0 | 0 |
| Romania | 5.5 | X (02) | X | 0.5 | 2 | 2 | 1 | 0 | 0 | 0 |
| Israel | 5 | - | X | 0 | 1 | 1 | 1 | 2 | 0 | 0 |
| Bulgaria | 0 | - | - | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| North Korea | 0 | - | - | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| South Africa ⁶ | 0 | - | - | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

* Major exporters are those countries that export at least USD 10 million worth of small arms, light weapons, and their ammunition annually, according to UN Comtrade data. The 2007 Barometer includes all countries that were among the major exporters at least once in their reporting covering the years 2001-04. For major exporters in 2004, see Annex 3 to the present chapter at <<http://www.smallarmsurvey.org/yearb2007.html>>; for those in 2003, see Small Arms Survey (2006, pp. 68-73); for those in 2002, see Small Arms Survey (2005, pp. 102-5); for those in 2001, see Small Arms Survey (2004, pp. 103-6).

Scoring system

(a) **Timeliness (1.5 points total, score based on national arms export reports data only):** A report has been published within the last 24 months (up to 31 January 2007) (0.5 points); information is available in a timely fashion (alternatively: 1 point if within 6 months of the end of the year in question, or 0.5 if within a year).

(b) **Access (2 points total):** Information is: available on Internet through UN Comtrade (1 point); available in a UN language (0.5 points); free of charge (0.5 points).

(c) **Clarity (5 points total):** The reporting includes source information (1 point); small arms and light weapons distinguishable from other types of weapons (1 point); small arms and light weapons ammunition distinguishable from other types of ammunition (1 point); detailed weapons description included (1 point); reporting includes information on types of end users (military, police, other security forces, civilians, civilian retailers) (1 point).

(d) **Comprehensiveness (6.5 points total):** The reporting covers: government-sourced as well as industry-sourced transactions (1 point); civilian and military small arms and light weapons (1.5 points); information on re-exports (1 point); information on small arms and light weapons parts (1 point); information on small arms and light weapons ammunition (1 point); summaries of export laws and regulations, and international commitments (1 point).

(e) **Information on deliveries (4 points total):** Data disaggregated by weapons type (value of weapons shipped [1 point], quantity of weapons shipped [1 point]), and by country and weapons type (value of weapons shipped [1 point], quantity of weapons shipped [1 point]).

(f) **Information on licences granted (4 points total):** Data disaggregated by weapons type (value of weapons licensed [1 point], quantity of weapons licensed [1 point]), and by country and weapons type (value of weapons licensed [1 point], quantity of weapons licensed [1 point]).

(g) **Information on licences refused (2 points total):** Data disaggregated by weapons type (value of licence refused [0.5 points], quantity of weapons under refused licence [0.5 points]), and by country and weapons type (value of licence refused [0.5 points], quantity of weapons under refused licence [0.5 points]).

Note 1: The Barometer is based on each country's most recent arms exports that were publicly available as of 31 January 2007 and/or on 2004 customs data from UN Comtrade.

Note 2: Under (e), (f), and (g) no points are granted for number of shipments or number of licences granted or denied, as such figures give little information about the magnitude of the trade. The data is disaggregated by weapons type if the share of small arms and light weapons in the country's total arms trade is delineated (x per cent of the total value of the arms exports consisted of small arms and light weapons; x number of small arms and light weapons were exported in total). The data is disaggregated both by country and by weapons type if there is information on the types of weapons that are transferred to individual recipient states (x numbers/x USD worth of small arms was delivered to country y).

Note 3: Under (e), (f), and (g), 'weapons type' means broader weapons categories (i.e. 'small arms' as opposed to 'armoured vehicles' or 'air-to-air missiles'), not specific weapons descriptions ('assault rifles' as opposed to 'hunting rifles').

Note 4: The fact that the Barometer is based on two sources—customs data (as reported to UN Comtrade) and national arms export reports—works to the advantage of states that publish data in both forms, since what they do not provide in one form of reporting they might provide in the other. Points achieved from each source of the two sources are added up. However, points are obviously not counted twice (e.g. if a country provides both customs data and export reports in a UN language, it gets 1 point for this under 'access', not more).

¹ Spain makes public its report on small arms and light weapons exports to the OSCE as an annex to its arms export report. The report contains information both on licences granted (volumes by country and weapons type) and on actual deliveries (also volumes by country and weapons type). It covers only the OSCE states, and hence a very limited number of transactions. Spain is therefore granted only part of the points on licences and deliveries. Other states make their OSCE reports public, but separately from the arms export reports. These are therefore not taken into account in the Barometer.

² Austria's national arms export report (Austria, 2006) is a republication of the data it submitted for publication in the EU Annual Report covering 2004 exports (EU, 2005).

³ Canada's most recent national arms export report (Canada, 2003) was published before the cut-off date for the 2007 Barometer.

⁴ The 2007 Barometer covers reporting before Montenegro's independence in June 2006 (BBC, 2006b).

⁵ Belgium has not published any national arms export reports since 2002, because export control was regionalized in September 2003 (for details, see Wallonia, 2004, pp. 3-12). The score is therefore based on customs data submissions only.

⁶ South Africa's most recent national arms export report (South Africa, 2003) was published before the cut-off date for the 2007 Barometer.

Sources: Australia (2006); Austria (2006); Bosnia-Herzegovina (2005); Czech Republic (2005); Finland (2004); France (2005); Germany (2006); Italy (2005); Netherlands (2005); NISAT (2007a, 2007b); Norway (2006); Portugal (2006); Romania (2005); Spain (2006); Sweden (2006); Switzerland (2006); UK (2006); UN Comtrade (2007); US (2006)

Off the books: covert arms supplies

Countries considered highly transparent about their arms transfers in general may, at the same time, be providing military aid via covert operations, which, by definition, they do not report publicly. For instance, the United States—often described as a model of transparency in terms of its reporting on weapons authorizations and shipments (in the 2007 Barometer it receives the highest total score of 20.5)—has a long tradition of covert arms supply.³⁹ The US government (through the Central Intelligence Agency—CIA) has recently engaged in a covert arms supply operation in at least one country in furtherance of its global 'war on terrorism' (see below).⁴⁰